



Federal Fish and Wildlife License/Permit Application Form

Return to:

Division of Management Authority
U.S. Fish and Wildlife Service
4401 N. Fairfax Drive, Room 700
Arlington, VA 22203
1-800-358-2104 or 703-358-2104

Type of Activity:

Export/Re-Export of Captive-Held Marine Mammals
(Convention on International trade in Endangered Species)

A. Complete if applying as an individual						
1.a. Last name:		1.b. First name:		1.c. Middle name or initial:	1.d. Suffix	
1.e. Doing business as (dba):		2.a. Street Address (line 1):		2.b. Street Address (line 2):		
2.c. Street address (line 3):		3.a. City:		3.b. County:	3.c. Province:	3.d. State:
3.e. Zip code or postal code:		3.f. Country (only for non-commercial):		4. Date of birth (mm/dd/yyyy):		5. Social Security No:
6. Occupation:		7. List of any business, agency, organizational, or institutional affiliation associated with the wildlife or plants to be covered by this license or permit:				
8. Home telephone number:		9. Work telephone number:		10. Fax number:		11. E-mail address:

B. Complete if applying as a business, corporation, public agency or institution						
1.a. Name of business, agency, or institution:		1.b. Doing business as (dba):		2. Tax identification no.:		
3.a. Street address (line 1):		3.b. Street address (line 2):		3.c. Street address (line 3):		
4.a. City:		4.b. County:		4.c. State:	4.d. Zip code:	
5.a. Principal officer - Last name:		5.b. First name:		5.c. Middle name or initial		5.d. Suffix
5.e. Principal officer title:		6. Describe the type of business, agency, or institution:				
7. Home telephone number:		8. Work telephone number:		9. Fax number:		10. E-mail address:

C. All applicants complete		
1. Do you currently have or have you had any Federal Fish and Wildlife License or Permit? Yes If yes, list the number of the most recent license or permit you hold: No		
2. Have you obtained any required state or foreign government approval to conduct the activity you propose? Yes If yes, provide a copy of the license or permit. No Not Required		
3. Attachments: Complete the additional pages of this application. Application will not be considered complete without these pages. Incomplete applications may be returned.		
4. Enclose check or money order payable to the U.S. FISH AND WILDLIFE SERVICE in the amount of \$25. Institutions which qualify under 50 CFR 13.11(d)(3) may be exempt from fees.		
5. Certification: I hereby certify that I have read and am familiar with the regulations contained in Title 50, Part 13, of the Code of Federal Regulations and the other applicable parts in subchapter B of Chapter I of Title 50, and I further certify that the information submitted in this application for a license or permit is complete and accurate to the best of my knowledge and belief. I understand that any false statement herein may subject me to the criminal penalties of 18 U.S.C. 1001.		
6. Signature (in ink) of applicant or person responsible for permit in Block A or B		7. Date (mm/dd/yyyy):

D. EXPORT/RE-EXPORT OF MARINE MAMMALS (*Convention on International Trade in Endangered Species*)

Note: This application is for the export or re-export of captive-held live marine mammals and/or export or re-export of previously acquired parts or biological samples. For the marine mammal species under the jurisdiction of Fish & Wildlife Service, you must complete Form 3-200-43 if your activity involves the take of live animals or samples from the wild for export.

Please provide the following information on a separate sheet of paper.

1. Provide the following for each specimen:
 - a. Common and scientific names (and subspecies if applicable);
 - b. Quantity;
 - c. Birth date/Age;
 - d. Country where the wildlife originated (for pre-Convention/pre-MMPA, may be unknown);
 - e. Indicate if the wildlife was taken from the wild (W) or born in captivity (C);
 - f. Sex (if known);
 - g. Description (e.g. I.D. #, ISIS #, Tattoo #, size, etc.);
 - h. Current location of the specimen; and
 - i. For whales, porpoises, seals, and sea lions, a copy of your National Marine Fisheries Service authorization.
2. Name and address of person receiving the shipment.
3. For parts of animals **obtained from the wild** (e.g. biological samples), provide:
 - a. Evidence that it was legally taken (e.g., State license and tag#);
 - b. Purpose specimen was removed from the wild; and
 - c. Copy of Marine Mammal Protection Act authorization.
4. For **captive-born wildlife**, provide evidence EACH animal was bred in captivity.
 - a. Breeder's records, signed statement from the breeder, or ISIS documents must include birth date, sex, and the complete name and address of the breeder's facility.
 - b. If you are not the breeder of the wildlife, you need to submit documents from the breeder, as described above AND copies of invoices or other documentation showing that you acquired the wildlife from the breeder and/or history of multiple transactions.
5. For **re-export**, provide evidence the specimen was legally imported:
 - a. Copies of canceled CITES export or re-export document issued by the appropriate CITES office in the country from which the wildlife was imported, cleared Declaration for Importation (Form 3-177), and/or any import documents required by the National Marine Fisheries Service.
 - b. If you did not make the original import, provide copies of the importer's documents described above AND the invoice or other document that shows you purchased the wildlife from the original importer or history of multiple transactions.
Be sure to correlate your documents with each specimen.
6. For **pre-Convention wildlife**, provide documents, signed statements or other evidence that the wildlife was obtained prior to the date CITES applied to it (i.e., bill of sale, ISIS record, breeder's record, etc.). The listing date can be found in the booklet "Appendices I, II, and III to CITES" available from OMA.
7. For **pre-MMPA** (i.e., animals acquired or born before December 21, 1972), provide a copy of the affidavit and supporting documentation outlined in 50 CFR 18.14 (copy enclosed).
8. For **CITES Appendix-I species**, provide a copy of the CITES import permit, or evidence one will be issued by the Management Authority of the country to which you plan to export or re-export the wildlife (country of recipient in 2 above). (Not required if specimen qualifies as pre-Convention.)
9. Attach copies of **applicable State permits or licenses** (contact your State for information).

10. For **Scientific Research**, the recipient must provide information indicating that the export of the animal or biological sample is required for bona fide scientific purposes.
 11. For **Public Display**, provide the following information:
 - a. Documents to show the recipient maintains their facility for public display of marine mammals. That they are open to the public on a regularly scheduled basis and that access to such facilities is not limited or restricted other than by charging an admission fee.
 - b. Documents to show the recipient offers a program for education or conservation purposes that is based on professionally recognized standards of the public display community.
 - c. Provide a copy of the letter from USDA/APHIS, which confirms that the recipient meets comparable standards under the AWA for maintenance and care of marine mammals.
 - d. Provide a certification from the appropriate government agency of the importing country (i.e., the CITES Management Authority) to show that:
 - i. the laws and regulations of that government permit enforcement of the permit conditions;
 - ii. the conditions will be enforced; and
 - iii. government will afford comity to the USFWS to amend, suspend or revoke the permit, if issued.
 12. For **ESA-listed species** (southern sea otter, manatees, and dugongs), provide a statement of how the activities will enhance or benefit the wild population. If your activities include conservation education, the educational information must include ecological role and conservation needs of the species.
 13. For **living wildlife**, describe:
 - a. The type, size, and construction of any shipping container; and
 - b. Arrangements for watering or otherwise caring for the wildlife during transport.
- NOTE:** If shipping by air, you must comply with the **International Air Transportation Association (IATA)** regulations (contact airline for information). You must also meet USDA standards for Humane and Healthful Transport of Marine Mammals.
14. List the **U.S. port** through which the export or re-export will occur. If no port is indicated, export or re-export must be through a designated port for wildlife (see enclosed list).

PERMIT APPLICATION FORM INSTRUCTIONS

The following instructions pertain to the standard License/Permit Form 3-200 that must be completed as an application for a U.S. Fish and Wildlife Service permit. The General Permit Procedures in 50 CFR 13 address the permitting process.

- * Complete all appropriate blocks/lines. Print clearly or type in the information. *A complete application prevents delays!*
- * Sign the application *in ink* and send an *original* to the address on the top of the application. Faxed copies will not be accepted.
- * Applications will be processed in the order they are received.

Most of the application form is self-explanatory, but the following provides some further assistance for completing the form.

COMPLETE EITHER BLOCK A OR BLOCK B:

- Block A. **"Complete if applying as an individual"** - Enter the complete name of the responsible party who will be the permittee if a permit is issued. Enter personal information that identifies the applicant. All blocks must be completed. If you are applying on behalf of a client, the personal information must pertain to the client. A notarized document stating power of attorney must be included with the application.
- Block B. **"Complete if applying as a business, corporation, public agency or institution"** - Enter the complete name and address of the business, agency or institution who will be the permittee if a permit is issued. Give a brief description of the type of business the applicant is engaged in, the name and phone number of the person in charge, and if the company is incorporated, the state in which it was incorporated.

ALL APPLICANTS COMPLETE BLOCK C:

- Block C.1 **"Do you currently have or have you had any Federal Fish and Wildlife license or permit?"** - List the number of any FWS or CITES permits. If applying for a renewal, the original permit must be returned with this application.
- Block C.2 **"Have you obtained any required state or foreign government approval to conduct the activity you propose?"** - If the proposed activity is regulated, check the appropriate box. If "yes," list the State or foreign countries involved and type of document required. Include a copy of these documents with the application. If "no" indicate what steps you have taken to secure approval (use attachment if necessary). If the proposed activity is not regulated check "not required".
- Block C.3 **"Attachments"** - Consult the fact sheet or regulation. Provide any required additional information outlined on the supplemental page(s) of the application form. Be as complete and descriptive as possible. If there is any doubt as to the information's relevance, include it with the application. An incomplete or unclear application may cause delays in processing.
- Block C.4 **"Check or money order (if applicable)"** - There is a permit processing fee unless you are fee exempt. Consult the enclosed APPLICATION PROCESSING FEE information. Make the check or money order payable to the "U.S. Fish and Wildlife Service" and attach it to the application form. If you are fee exempt, write "exempt" in this space.
- Block C.5 **"CERTIFICATION"** - The **individual applicant in Block A, the person named in Block B, or person with power of attorney must sign and date** the application in ink. This signature binds that person to the statement of certification. This means that you certify that you read and understood the regulations that apply to the permit. You also certify that everything included in the application is true to the best of your knowledge. Be sure to read the statement and re-read the application before signing.

APPLICATION FOR A FEDERAL FISH AND WILDLIFE LICENSE/PERMIT
Paperwork Reduction Act and the Privacy Act – Notices

In accordance with the Paperwork Reduction Act of 1995 (44 U.S.C. 3501, et seq.) and the Privacy Act of 1974 (5 U.S.C. 552a), please be advised that:

1. The gathering of information on fish and wildlife is authorized by:
 - (a) Bald Eagle Protection Act (16 U.S.C. 663a);
 - (b) Endangered Species Act of 1973 (16 U.S.C. 1539);
 - (c) Migratory Bird Treaty Act (16 U.S.C. 703-711);
 - (d) Marine Mammal Protection Act of 1972 (16 U.S.C. 1371-1383);
 - (e) Wild Bird Conservation Act (16 U.S.C. 4901-4916);
 - (f) Lacey Act (18 U.S.C. 42 & 44);
 - (g) Convention on International Trade in Endangered Species of Wild Flora and Fauna (TIAS 8249);
 - (h) Title 50, Part 10, of the Code of Federal Regulations;
 - (i) Title 50, Part 13, of the Code of Federal Regulations;
 - (j) Title 50, Part 14, of the Code of Federal Regulations;
 - (k) Title 50, Part 17, of the Code of Federal Regulations;
 - (l) Title 50, Part 21, of the Code of Federal Regulations;
 - (m) Title 50, Part 22, of the Code of Federal Regulations; and
 - (n) Title 50, Part 23, of the Code of Federal Regulations.
2. Information requested in this form is purely voluntary. However, submission of requested information is required in order to process applications for licenses or permits authorized under the above acts. Failure to provide all requested information may be sufficient cause for the U.S. Fish and Wildlife Service to deny a permit. Response is not required unless a currently valid Office of Management and Budget (OMB) control number is displayed.
3. Certain applications for permits authorized under the Endangered Species Act of 1973 (16 U.S.C. 1539) and the Marine Mammal Protection Act of 1972 (16 U.S.C. 1371-1383) will be published in the Federal Register as required by the two acts.
4. Routine use disclosures may also be made:
 - (a) To the U.S. Department of Justice when related to litigation or anticipated litigation;
 - (b) Of information indicating a violation or potential violation of a statute, regulation, rule, order or license to appropriate Federal, State, local or foreign agencies responsible for investigation or prosecuting the violation or for enforcing or implementing the statute, rule, regulations, order or license;
 - (c) From the record of an individual in response to an inquiry from a Congressional office made at the request of that individual (42 FR 1903; April 11, 1977);
 - (d) To subject matter experts, and State and other Federal agencies, for the sole purpose of obtaining advice relevant to issuance of the permit.
5. For individuals, personal information such as home address and telephone number, financial data, and personal identifiers (social security number, birth date, etc.) will be removed prior to any release of the application.
6. The public burden for this information collection varies depending on the activity for which a permit is requested. The relevant burden for Export/Re-Export of Captive-Held Marine Mammals (CITES) is two (2) hours. This burden estimate includes time for reviewing instructions, gathering and maintaining data and completing and reviewing the form. You may direct comments regarding the burden estimate or any other aspect of the form to the Service Information Clearance Officer, U.S. Fish and Wildlife Service, Mail Stop 222, Arlington Square, U.S. Department of the Interior, 1849 C Street, NW, Washington D.C. 20240.

Freedom of Information Act – Notice

For organizations, businesses, or individuals operating as a business (*i.e.*, permittees not covered by the Privacy Act), we request that you identify any information that should be considered privileged and confidential business information to allow the Service to meet its responsibilities under FOIA. Confidential business information must be clearly marked "Business Confidential" at the top of the letter or page and each succeeding page and must be accompanied by a non-confidential summary of the confidential information. The non-confidential summary and remaining documents may be made available to the public under FOIA [43 CFR 2.13(c)(4), 43 CFR 2.15(d)(1)(i)].

APPLICATION PROCESSING FEE

The fee to process an Export/Re-Export of Captive-Held Marine Mammals (CITES) application is \$25.00. Checks should be made payable to "U.S. Fish and Wildlife Service." The fee applies to new permit applications, renewals, and amendments. The processing fee shall not be refunded if the permit is issued or denied, or if the application is abandoned. The fee schedule does not apply to any Federal, State, or local government agency or individual or institution under contract to such agency for the proposed activities. Until further notice, the fee will be waived for public institutions. As defined in 50 CFR 10.12 - "Public as used in referring to museums, zoological parks, and scientific or educational institutions, refers to such as are open to the general public and are either established, maintained, and operated as a governmental service or are privately endowed and organized but not operated for profit."